



NEW ZEALAND  
GOVERNMENT PROCUREMENT

Government  
Property Group

Procurement

## All-of-Government Self-Assessment Tool (Self-Assess)

# Procurement Capability Index (PCI) Framework Self-Assessment

## Procurement Lead User Guide



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# 1. Purpose of Document

This document serves as a practical guide for Agency users on how to use the All-of-Government (AoG) Self-Assessment Tool (Self-Assess) to complete individual and agency procurement capability self-assessments and to report and share results with the New Zealand Government Procurement and Property (NZGPP) in a secure manner.

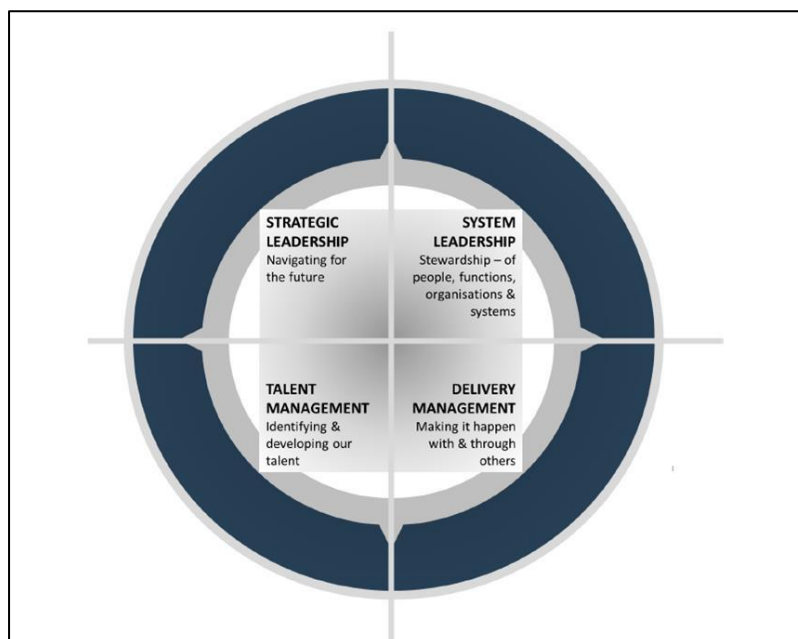
## 2. Background

Self-Assess is a cloud-based solution delivered via a web browser. We recommend using the latest versions of Google Chrome, Mozilla Firefox, Apple Safari and Microsoft Edge.

## 3. Procurement Capability Index

The Procurement Capability Index Framework (PCI) comprises of 27 elements spread across 8 categories, under 4 sections:

- Strategic leadership
- System leadership
- Delivery management
- Talent management



# 4. Access

You can access Self-Assess via the following login URL and entering your username and password. <https://selfassess.govt.nz/home.aspx>

**Self-Assess**

New Zealand Government

## Welcome to the New Zealand Government Online Self-Assessment Portal

The Self-Assessment portal enables agencies to complete their annual self-assessments and other reporting requirements online in an efficient and effective manner. The benefits of the online portal for agencies include:

- Easy access to all of your assessments on one secure location
- Where applicable assessments are pre-populated with last year's data reducing time and effort to complete and improving consistency
- Improved version control through automated workflow and approval processes
- Access to benchmark and trend reporting providing additional insights into business performance.

**GAINING INSIGHT** **LIFTING CAPABILITY** **IMPROVING PERFORMANCE**

Need help? [Contact us](#)

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***On your first time logging into Self-Assess, you will be required to change your password. Passwords must be at least 10 characters long and contain at least one digit, one uppercase and one lowercase character.***

If you have not been provided with a username and password or experience any issues with gaining access to the AoG Self-Assessment Tool, click on [contact us](#) or send an email to [Self-Assess.Team@dia.govt.nz](mailto:Self-Assess.Team@dia.govt.nz).

### Password Use

It is your responsibility to maintain the confidentiality of your password:

- Do not write your password down.
- Use the self-service function in the top right hand corner of the Home page to change your password at any time if you feel that it has been compromised in any way.

### **Unattended Equipment**

You must ensure that unattended equipment is left suitably protected:

- Lock workstations or other similar devices when left unattended.
- Activate a screen saver that is password protected.

### **Logging Out**

Once you have finished using the AoG Self-Assessment Tool you should log out. As a security precaution your access will automatically time out after 30 minutes of inactivity.

## **5. Roles**

There are multiple roles involved in the completion of PCI assessments.

<b>Role</b>	<b>Responsibilities</b>
Procurement Lead	One or more procurement leads within an agency who have the responsibility for completing the Agency PCI Self-Assessment and submitting it to the approver when complete. The Procurement Lead is also able to produce reports on their agency's assessment(s).
Approver	One approver is assigned to each Agency PCI Self-Assessment and is responsible for submitting it to the NZGPP when ready.
Procurement Specialists	Included functionality enables agencies to arrange for individuals within their organisation to complete Individual PCI Self-Assessments to inform their Agency PCI Self-Assessment. These users will only have access to completing assigned individual assessments.
NZGPP	NZGPP users are responsible for finalising or assigning moderation for Agency Self-Assessments that have been submitted to NZGPP. They can only view the Agency PCI Self-Assessment once it has been submitted by the agency approver.
Moderator	Moderators are only able to access Agency PCI Self-Assessments that have been assigned to them for moderation. They are responsible for reviewing and finalising moderated assessments.

## 6. Home Page

Once you have logged in you will be directed to the Home page which contains an introduction to PCI and allows you to navigate to the assessment to edit or view the results for your agency.

The screenshot shows the 'Self-Assess' home page. At the top left, the 'Self-Assess' logo and a home icon are circled in red. A red box with the number '1' points to a user profile dropdown menu in the top right corner. A red box with the number '2' points to a 'Getting started' section containing links for 'Procurement guide', 'Quick-start guide (PDF)', and 'User guide in full (PDF)'. A red box with the number '3' points to the 'Agency PCI Self-Assessment' selector box, which includes a year dropdown (set to 2018), a response ID field (1006099205), and a status indicator 'Final'. A red box with the number '4' points to the 'View results' and 'Moderator summary' buttons within this selector. A red box with the number '5' points to the 'Final' status indicator. A red box with the number '6' points to the 'Benchmark Reporting' tool icon in the 'Reporting tools' section, which also includes 'Assessment results by element', 'Assessment results by category', 'Status Tracker', and 'Excel Export'.

1. **User options** – You can select change password or logout from this drop down.
2. **Getting started** – Links to additional guidance to help you complete your assessments.
3. **Assessment selector** – The action box for the agency assessment(s) one Agency PCI Self-Assessment to be completed per year.
4. **Action buttons** - The actions available will be dependent on your user permissions and the status of the assessment.
5. **Status** – Displays the status of the selected assessment and determines whether you are able to edit assessment or just view the results.
6. **Reporting tools** - Reporting functionality available for you to produce customised reports, including trend reports across multiple years, based on your agency's data only.



**Tip!** *If you want to return to the Home page at any time, simply click on the Self-Assess / Home icon at the top of the page.*

## 7. Getting started links

You can use the links on the home page for information on the Procurement Capability Framework.

- Use the **Procurement guide** link to view [www.procurement.govt.nz](http://www.procurement.govt.nz)
- Use the **Quick-start guide - Agency** to complete your Agency assessment
- Use the **Quick-start guide - Approval** to approve your Agency assessment
- Use the **Quick-start guide - Individual** to complete your Individual assessment
- The **User guide in full** is a document for the Procurement Leads and includes the details for completing the Agency assessment as well as using the reporting options. It also explains the Approvers process in full and what happens if your assessment is to be moderated.

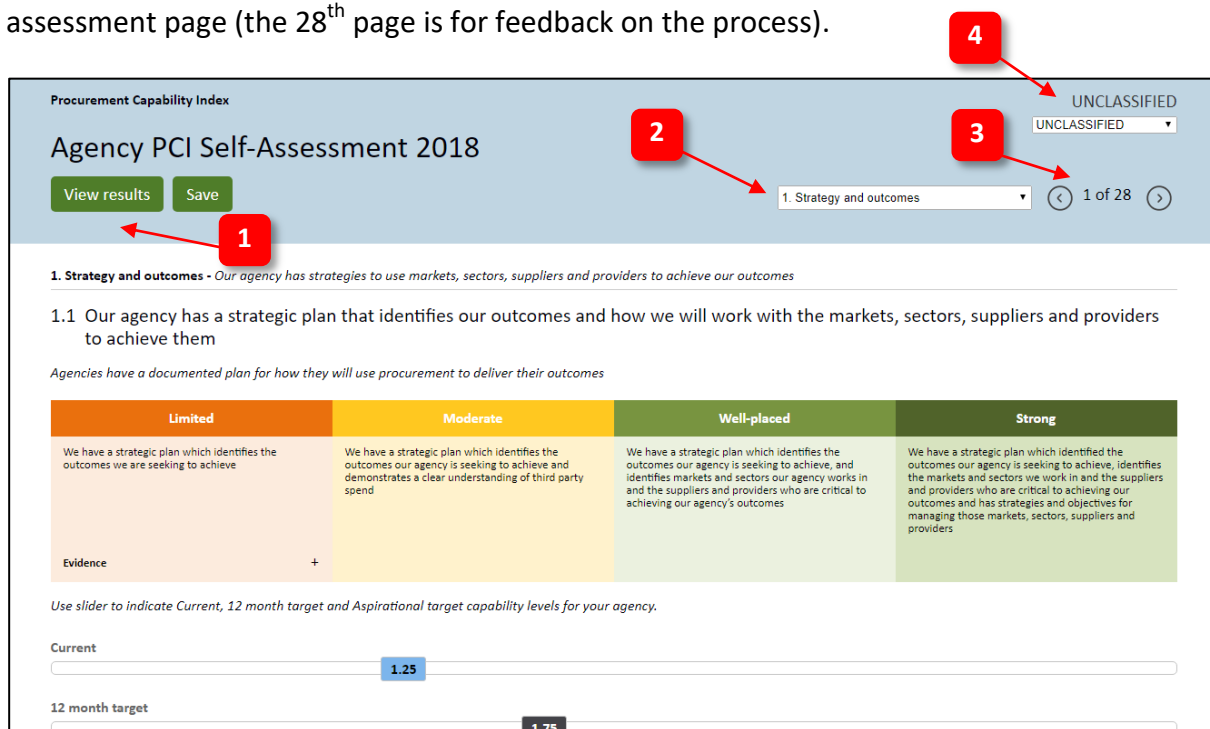
## 8. Completing the Assessment

Initially the assessment will have a status of 'Ready to start' with only the Edit button available. Click this to commence completing the assessment.



### Navigation

The assessment comprises of 27 elements (questions) and each element has its own assessment page (the 28<sup>th</sup> page is for feedback on the process).

A screenshot of the 'Agency PCI Self-Assessment 2018' assessment page. The page title is 'Agency PCI Self-Assessment 2018' and the status is 'UNCLASSIFIED'. There are four numbered callouts: 1 points to the 'View results' button; 2 points to the category dropdown menu showing '1. Strategy and outcomes'; 3 points to the navigation arrows at the bottom right; 4 points to the 'UNCLASSIFIED' status dropdown menu. The main content area shows a question about strategic planning with a table of evidence levels: Limited, Moderate, Well-placed, and Strong. A slider at the bottom allows setting 'Current' (1.25) and '12 month target' (1.75) capability levels.

1. You can view your results at any stage by selecting the 'View results' button.
2. To move to another Category, select the category from the drop-down.
3. You can use the navigation buttons at the top and bottom of each page to move forward and back through the assessment.
4. The first page of the assessment allows you to allocate a security classification to your Agency Self-Assessment. Simply click the drop down and select the classification you desire - this will appear on all pages and reports.



**Navigation away from the page will automatically save any changes and an auto-save action is undertaken every 15 seconds.**



## Capability Sliders

There are three capability sliders which are used to rate **Current**, **12 month target** and **Aspirational target** capability levels along a horizontal scale ranging from 0 to 4, with an interval of 0.25 to represent the points within each level.

Limited	0.25 to 1
Moderate	1.25 to 2
Well-placed	2.25 to 3
Strong	3.25 to 4

You can rate each capability by dragging the button or by clicking on the slider at where you want to rate. If your agency meets all the evidence within the capability level, drag the slider to the right of that level to score the whole number.

2. Commercial and social outcomes - Our agency is positioned to use markets and sectors, and the markets and sectors are positioned, to meet our current and future needs

2.1 Our agency completes and publishes annual procurement plans which detail our procurement activities for the year

Agencies make information about their annual procurement activities publically available so markets and sectors know and can prepare

Limited	Moderate	Well-placed	Strong
Our agency has a plan which captures key procurement activity for the current financial year	Our agency completes annual procurement plans which detail our proposed procurement activities in accordance with the Government Rules of Sourcing	Our agency completes annual procurement plans which are developed in consultation with the business units and managers across our agency and detail our proposed procurement activities and the plan substantively aligns with our agency's actual procurement activities	Our agency completes annual procurement plans which are developed in consultation with the business units and managers across our agency and detail our proposed procurement activities and the plan reasonable accurately aligns with our agency's actual procurement activities (more than 50%)
Evidence	+		

Use slider to indicate Current, 12 month target and Aspirational target capability levels for your agency.

Current: 1.75

12 month target: 2.5

Aspirational target: 3

Evidence

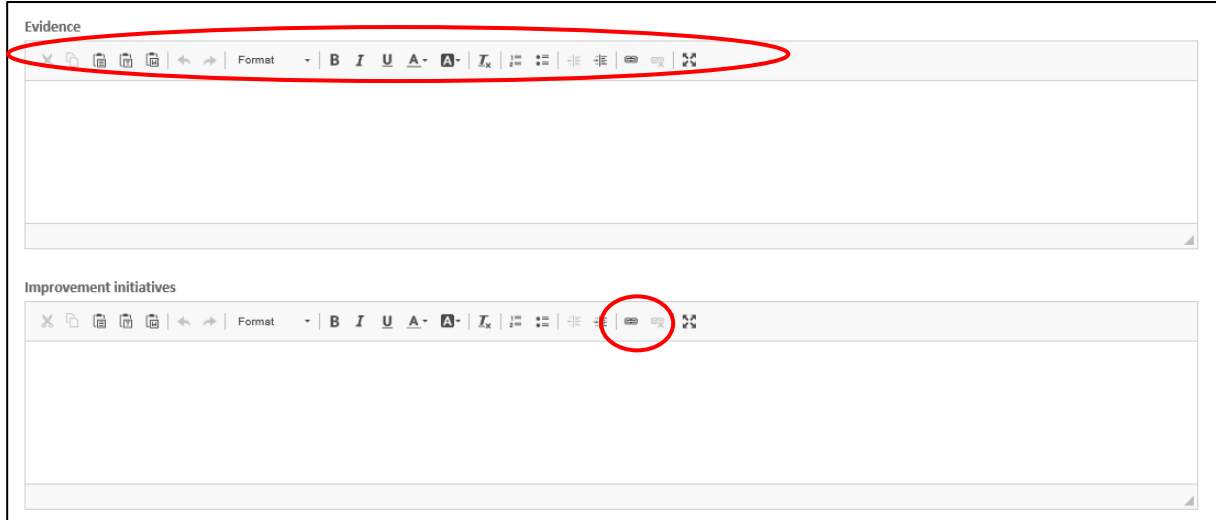


**Tip!**

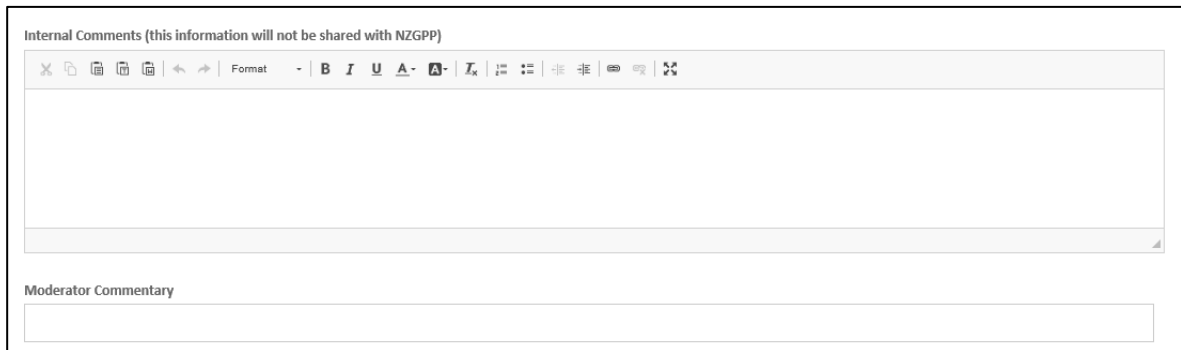
**Use the + icon to display the evidence for each capability level**

### Updating Commentary Fields

You are encouraged to provide 'Evidence' and 'Improvement opportunities' for each element to support your capability ratings. You can use the formatting toolbar that runs along the top of each commentary field to format your updates as preferred. Instructions for adding links to provide supporting documentation of your evidence is detailed below.



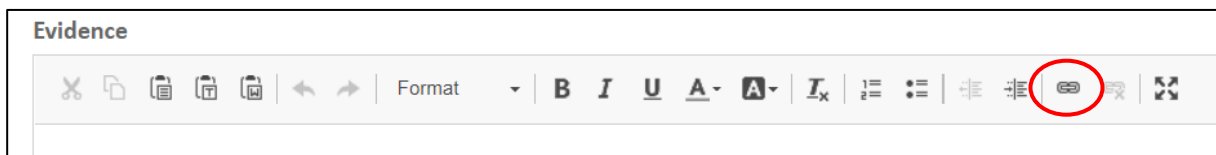
The 'Internal comments' commentary field can be used to provide additional information for your approver and is visible to your agency users but is not shared with NZGPP or moderators.



'Moderator commentary' is read only to agency users and will only be completed by moderators if your finalised assessment is due to be moderated.

### Supporting documents

You can use the Link icon in the toolbar to add links to documents within your DMS as evidence for your rating. Use the Link icon to add links.



This can be done in two ways:

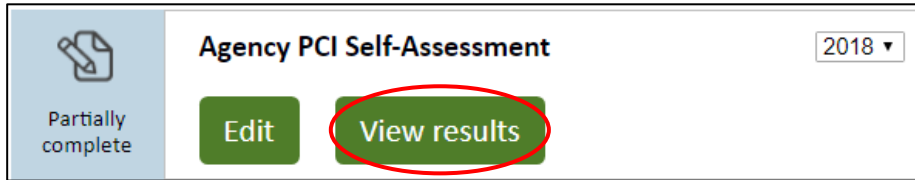
- Highlight a word(s) in the text and click Link, adding the url (will turn the word into a hyperlink)
- Clicking Link without highlighting text will include the URL in full.

### Feedback section

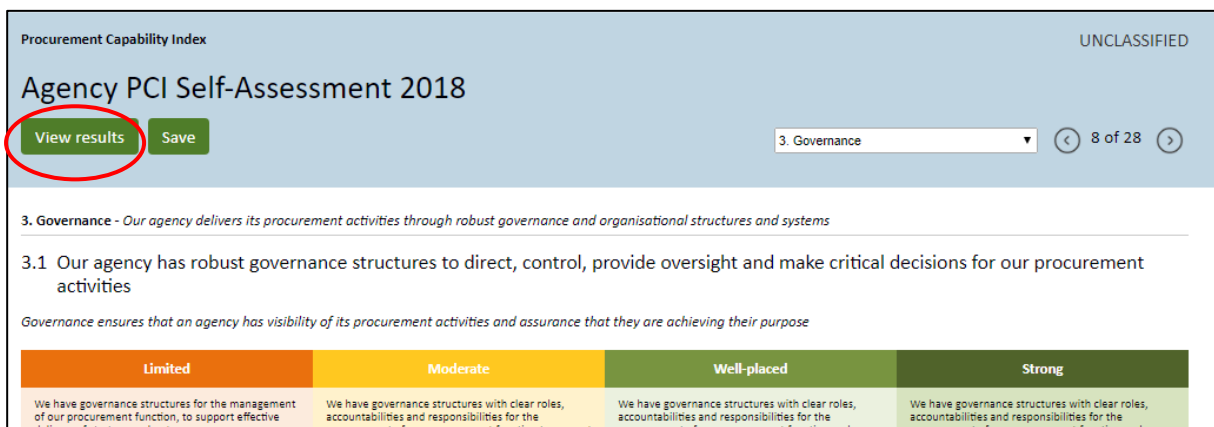
At the end of the assessment is a page for feedback on the PCI Self-Assessment to help improve the process.

# 9. Viewing Results

You can view the results of the assessment at any time. Simply click on the **View results** button from the Home page.







Alternatively, you can click on the **View results** button at the top of any of the assessment pages.



The default results report is the summary results report and a link is provided to the detailed report.

## Summary Results Report

The Summary Results report includes a table detailing Category headings and Element statements along with numeric scores for Current, 12 month target and Aspirational target.

Procurement Capability Index		IN CONFIDENCE		
PCI Test Agency		   		
Agency PCI Self-Assessment 2018		<a href="#">PCI - Capability descriptions</a>		
		<a href="#">Jump to end</a> <a href="#">View detailed report</a>		
Element		Current	12 month target	Aspirational target
<b>1. Strategy and outcomes</b>		1.50	1.75	2.13
1.1	<i>Our agency has a strategic plan that identifies our outcomes and how we will work with the markets, sectors, suppliers and providers to achieve them</i>	1.00	1.00	1.25
1.2	<i>Our agency completes an annual business plan(s) which identifies how we use markets, sectors, suppliers and providers to achieve the outcomes from our strategic plan</i>	2.00	2.50	3.00
<b>2. Commercial and social outcomes</b>		1.80	2.60	3.00
2.1	<i>Our agency completes and publishes annual procurement plans which detail our procurement activities for the year</i>	1.50	3.00	3.25
2.2	<i>Our agency works to deliver government policy and legislative initiatives through its procurement activities</i>	2.25	3.00	3.25
2.3	<i>Our agency has identified those suppliers and providers that are critical to delivering strategic outcomes</i>	1.25	2.75	3.00
2.4	<i>Our agency has a plan to support procurement capability and continuous improvement</i>	1.25	1.50	2.50
2.5	<i>Our agency works with and develops markets, sectors, suppliers and providers so they are ready to deliver our business needs now and in the future</i>	2.75	2.75	3.00
<b>3. Governance</b>		1.83	2.54	3.13
3.1	<i>Our agency has robust governance structures to direct, control, provide oversight and make critical decisions for our procurement activities</i>	1.25	2.25	3.00
3.2	<i>Our agency has robust controls to ensure we meet our financial obligations</i>	2.50	3.25	3.25
3.3	<i>Our agency complies with our procurement policies to ensure we are using best practice procurement</i>	1.75	2.50	3.00
3.4	<i>Our agency uses tools, templates and processes to simplify and streamline our procurement activities</i>	1.75	2.25	2.75
3.5	<i>Our agency utilises ICT systems to support the planning, sourcing and management of our procurement activities</i>	1.50	2.00	3.00
3.6	<i>Our agency has visibility of its procurement activities and how they are performing</i>	2.25	3.00	3.75
<b>4. Risk and benefits</b>		1.63	2.25	3.13
4.1	<i>Our agency understands and uses effective risk management practices to support all procurement activities</i>	1.50	2.00	2.75
4.2	<i>Our agency seeks innovation and manages for benefits to deliver better public services through our procurement activities</i>	1.75	2.50	3.50
<b>5. Planning and sourcing</b>		1.63	2.38	2.81
5.1	<i>Our agency uses market and sector information to develop a plan and sourcing approach for its procurement activities</i>	1.75	3.00	3.25
5.2	<i>Our agency identifies, engages and manages our stakeholders to ensure we meet and are prepared to meet expectations</i>	0.75	1.25	1.75
5.3	<i>Our agency has plans and documents and communicates our needs and how we will source the right supplier or provider so suppliers and providers clearly understand</i>	2.50	2.75	3.00
5.4	<i>Our agency's sourcing activities efficiently and effectively identify the right supplier, provider and solution</i>	1.50	2.50	3.25
<b>6. Managing for results</b>		2.33	2.75	3.00
6.1	<i>Our agency manages its contracts, and the deliverables under those contracts, to deliver for our end users</i>	2.25	2.25	2.50
6.2	<i>Our people are actively engaged with our suppliers and providers</i>	2.25	3.00	3.00
6.3	<i>Our agency makes it easy and desirable for suppliers and providers to work with us</i>	2.50	3.00	3.50





- The element scores are aggregated at the **category** level.
- Click on the [View detailed report](#) link to view the commentary.



**The Current capability rating description you selected is available in the Detailed report but is also provided in this summary report if you [Export to Excel](#) (see page 15)**

## Detailed Results Report

The Detailed results report includes any commentary captured against each element with the last page detailing the feedback you entered.

Procurement Capability Index		IN CONFIDENCE		
PCI Test Agency		   		
Agency PCI Self-Assessment 2018		<a href="#">PCI - Capability descriptions</a>		
		<a href="#">↓ Jump to end</a> <a href="#">View summary report</a>		
Element		Current	12 month target	Aspirational target
<b>Strategic Leadership</b> <i>Navigating for the future</i>		1.71	2.36	2.75
<b>1. Strategy and outcomes</b> Our agency has strategies to use markets, sectors, suppliers and providers to achieve our outcomes		1.50	1.75	2.13
<b>1.1</b>	<p><i>Our agency has a strategic plan that identifies our outcomes and how we will work with the markets, sectors, suppliers and providers to achieve them</i></p> <p><i>Agencies have a documented plan for how they will use procurement to deliver their outcomes</i></p> <p><b>Current rating</b></p> <p>We have a strategic plan which identifies the outcomes we are seeking to achieve</p> <p><b>Evidence</b></p> <p>Pellentesque libero lectus, tristique ac, consectetur sit amet, imperdiet ut, justo. Sed aliquam odio vitae tortor. Proin hendrerit tempus arcu. In hac habitasse platea dictumst. Suspendisse potenti. Vivamus vitae massa adipiscing est lacinia sodales.</p> <p><a href="http://www.dia.govt.nz">http://www.dia.govt.nz</a></p> <p><b>MBIE</b></p> <p><b>Improvement initiatives</b></p> <p>Sed aliquam odio vitae tortor. Proin hendrerit tempus arcu. In hac habitasse platea dictumst. Suspendisse potenti. Vivamus vitae massa adipiscing est lacinia sodales. Donec metus massa, mollis vel, tempus placerat, vestibulum condimentum, ligula. Nunc lacus metus, posuere eget, lacinia eu, varius quis, libero. Aliquam nonummy adipiscing augue.</p> <p><b>Internal Comments (this information will not be shared with NZGPP)</b></p> <p>Donec metus massa, mollis vel, tempus placerat, vestibulum condimentum, ligula. Nunc lacus metus, posuere eget, lacinia eu, varius quis, libero. Aliquam nonummy adipiscing augue.</p>	1.00	1.00	1.25
<b>1.2</b>	<p><i>Our agency completes an annual business plan(s) which identifies how we use markets, sectors, suppliers and providers to achieve the outcomes from our strategic plan</i></p> <p><i>Agencies have a documented annual plan detailing the significant procurement activities for the year</i></p> <p><b>Current rating</b></p> <p>We have an annual business plan(s) that aligns to our strategic plan. It uses critical business data and analysis to set our objectives for the coming year</p> <p><b>Evidence</b></p> <p>Fusce est. Vivamus a tellus. Pellentesque habitant morbi tristique senectus et netus et malesuada fames ac turpis egestas. Proin pharetra nonummy pede. Fusce est. Vivamus a tellus. Pellentesque habitant morbi tristique senectus et netus et malesuada fames ac turpis egestas. Proin pharetra nonummy pede. Fusce est. Vivamus a tellus. Pellentesque habitant morbi tristique senectus et netus et malesuada fames ac turpis egestas. Proin pharetra nonummy pede. Fusce est. Vivamus a tellus. Pellentesque habitant morbi tristique senectus et netus et malesuada fames ac turpis egestas. Proin pharetra nonummy pede.</p> <p><b>Improvement initiatives</b></p> <ul style="list-style-type: none"> <li>Pellentesque libero lectus, tristique ac, consectetur sit amet, imperdiet ut, justo.</li> <li>Sed aliquam odio vitae tortor. Proin hendrerit tempus arcu.</li> <li>In hac habitasse platea dictumst. Suspendisse potenti.</li> <li>Vivamus vitae massa adipiscing est lacinia sodales.</li> </ul> <p><b>Internal Comments (this information will not be shared with NZGPP)</b></p> <p>Mauris et orci. Aenean nec lorem. In porttitor. Donec laoreet nonummy augue.</p>	2.00	2.50	3.00



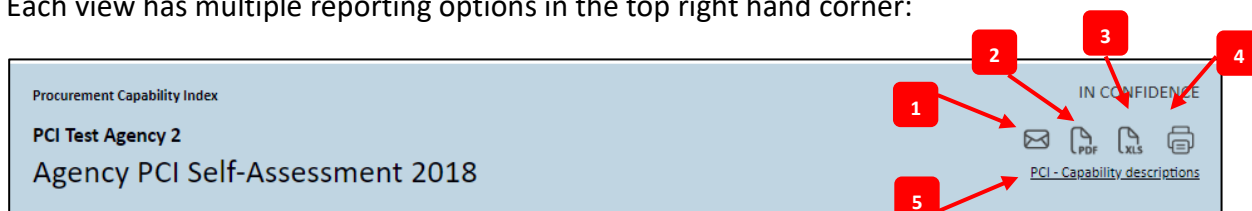
**The 'Internal comments' text will not be visible to the NZGPP's version of the detailed results report.**



**You can navigate to the end of the report using [↓ Jump to end](#) or back to the Summary view by clicking on [View summary report](#) in the right hand corner above the table.**

## Reporting Options

Each view has multiple reporting options in the top right hand corner:



1. **Email PDF** - Clicking on the Email icon allows you to email a PDF of your report (along with a short customisable covering message) to other users for their review.<sup>1</sup>
2. **Save to PDF** – Clicking on the ‘Save to PDF’ icon allows you to save the results to PDF which can then be emailed to other users for their review.
3. **Export to Excel** – Clicking on the ‘Excel’ icon will allow you to export the results to an Excel format which can then be tailored for your own needs.
4. **Print** – Clicking on the ‘Print’ icon allows you to print the results in a standard web page format.
5. **PCI Capability descriptions** - Clicking on the link will download a PDF of the capability descriptions available on the data entry pages



***Make sure you are on the right view (Summary or Detailed) when printing, saving / sending PDF or exporting results to Excel***

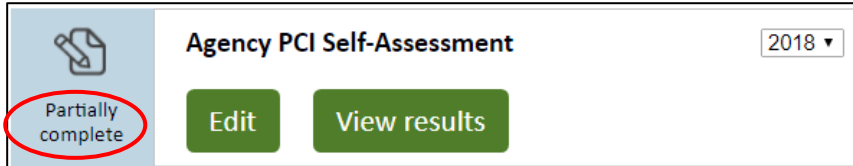
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<sup>1</sup> Note that this is not a secure email channel (e.g. SEEMail). If you are concerned about the security classification of the PDF you should download a copy of the PDF and send it via a secure email channel instead.

# 10. Submitting the Assessment

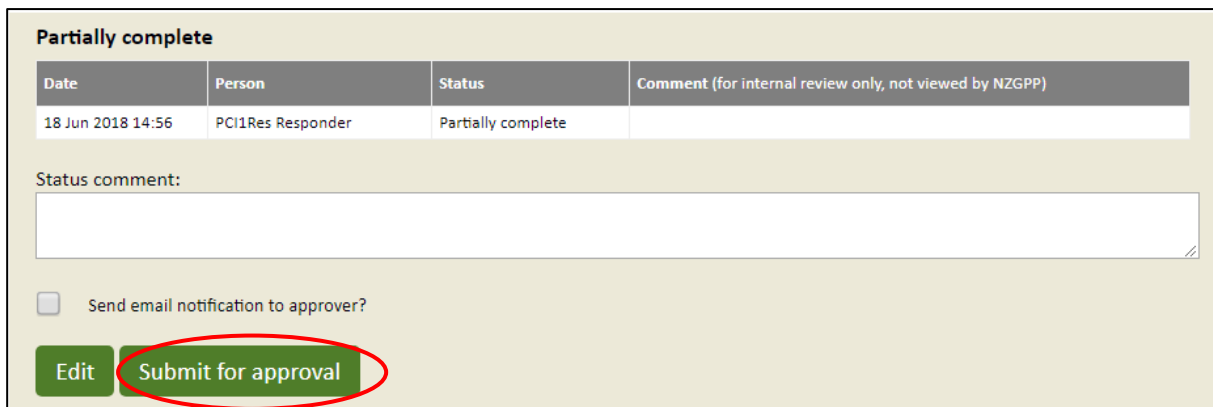
## Version Control

You can continue to edit the assessment when it is in 'Partially complete' status.



The screenshot shows a header for 'Agency PCI Self-Assessment' with a year dropdown set to '2018'. On the left, there is a document icon and a 'Partially complete' status indicator circled in red. Below the header are two green buttons: 'Edit' and 'View results'.

Once you determine the assessment is ready to be forwarded to your approver, you should click on the 'Submit for approval' button at the end of the Results page. You have the option of automatically sending a notification to your approver that the assessment is ready for their review.



The screenshot shows a 'Partially complete' status page. It features a table with the following data:

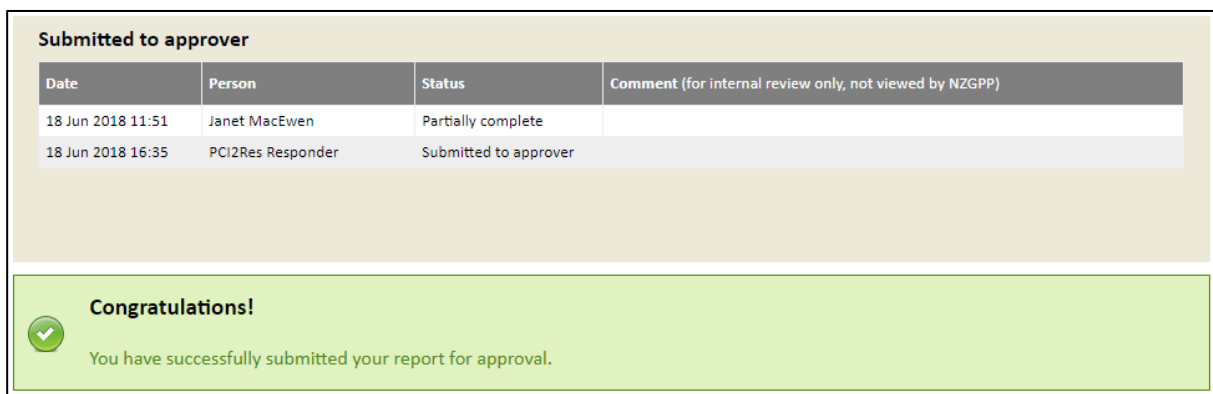
Date	Person	Status	Comment (for internal review only, not viewed by NZGPP)
18 Jun 2018 14:56	PCI1Res Responder	Partially complete	

Below the table is a 'Status comment:' field with a text input area. There is a checkbox labeled 'Send email notification to approver?'. At the bottom, there are two green buttons: 'Edit' and 'Submit for approval', with the latter circled in red.



**The Submit for approval action validates the mandatory fields (all capability sliders and feedback commentary) and will present you with an error message if any are missing.**

Once the assessment has been submitted and you will be presented with a confirmation message and the status will change to 'Submitted to approver'



The screenshot shows a 'Submitted to approver' status page. It features a table with the following data:

Date	Person	Status	Comment (for internal review only, not viewed by NZGPP)
18 Jun 2018 11:51	Janet MacEwen	Partially complete	
18 Jun 2018 16:35	PCI2Res Responder	Submitted to approver	

Below the table is a green banner with a checkmark icon and the text: 'Congratulations! You have successfully submitted your report for approval.'

You will no longer be able to edit the assessment but can view it from the home page.



### Agencies with a user who completes and approves the assessment

Some agencies may have a single user completing and submitting the assessment to NZGPP. If that is the case you will not see the Edit and Submit for approval buttons. Instead you will be presented with Edit and Approve.

**Partially complete**

Date	Person	Status	Comment (for internal review only, not viewed by NZGPP)
12 Jul 2018 08:43	Janet MacEwen	Partially complete	

Status comment:

I am satisfied that the assessment is a true reflection of my agency's current procurement capability.


**PCI2Res Responder**

[Edit](#) [Approve](#)

## 11. Approving the Assessment

If you selected the 'Send email notification to approver?' checkbox the system will send an automated email to your approver with a link to the detailed results report.

Alternatively, the designated approver will have access to 'Review' the assessment from their home page.

 **Agency PCI Self-Assessment** 2018 ▾

Submitted to approver [Review](#)

Clicking the 'Review' button will take the approver to the Summary results page, from there they can review the summary table and select the [View detailed report](#) link to read your commentary. At the end of the results report is the audit table with the actions they can take.

### Reject

**Submitted to approver**

Date	Person	Status	Comment (for internal review only, not viewed by NZGPP)
18 Jun 2018 16:44	Janet MacEwen	Partially complete	
18 Jun 2018 16:45	PCI1Res Responder	Submitted to approver	

Status comment:

Please make the changes we discussed

I am satisfied that the assessment is a true reflection of my agency's current procurement capability.

**PCI1Rev Reviewer**

[Approve](#) [Reject](#)

If the approver requires changes to the assessment, they will enter a comment in the 'Status comment' field and click 'Reject'. This will change the status of the assessment from 'Submitted to approver' back to 'Partially complete' and automatically send an email to you as the Procurement Lead so that you can update the assessment and resubmit.

### Approve

**Submitted to approver**

Date	Person	Status	Comment (for internal review only, not viewed by NZGPP)
18 Jun 2018 16:44	Janet MacEwen	Partially complete	
18 Jun 2018 16:45	PCI1Res Responder	Submitted to approver	
18 Jun 2018 16:56	PCI1Rev Reviewer	Partially complete	Please make the changes we discussed
18 Jun 2018 16:57	PCI1Res Responder	Submitted to approver	Changes made

Status comment:

I am satisfied that the assessment is a true reflection of my agency's current procurement capability.  
**PCI1Rev Reviewer**

Approve Reject

If the approver is happy with the assessment, they will check the attestation box and click 'Approve'. This will complete the assessment changing the status from 'Submitted to approver' to 'Submitted to NZGPP' and create a PDF of the version you submitted.

**Submitted to NZGPP**

Date	Person	Status	Comment (for internal review only, not viewed by NZGPP)
18 Jun 2018 16:44	Janet MacEwen	Partially complete	
18 Jun 2018 16:45	PCI1Res Responder	Submitted to approver	
18 Jun 2018 16:56	PCI1Rev Reviewer	Partially complete	Please make the changes we discussed
18 Jun 2018 16:57	PCI1Res Responder	Submitted to approver	Changes made
18 Jun 2018 16:58	PCI1Rev Reviewer	Submitted to NZGPP	v 1.00 PDF created.

I am satisfied that the assessment is a true reflection of my agency's current procurement capability.  
**PCI1Rev Reviewer**  
 18 Jun 2018 16:58

**Congratulations!**  
 You have successfully approved your report and submitted it to the NZGPP.

You can view this version at any stage by clicking on the PDF icon. You will no longer be able to edit the assessment but can view it from the home page.

The system will automatically send an email to you as the Procurement Lead so that you know the approver has approved it and another to NZGPP advising that your assessment has been submitted to them.

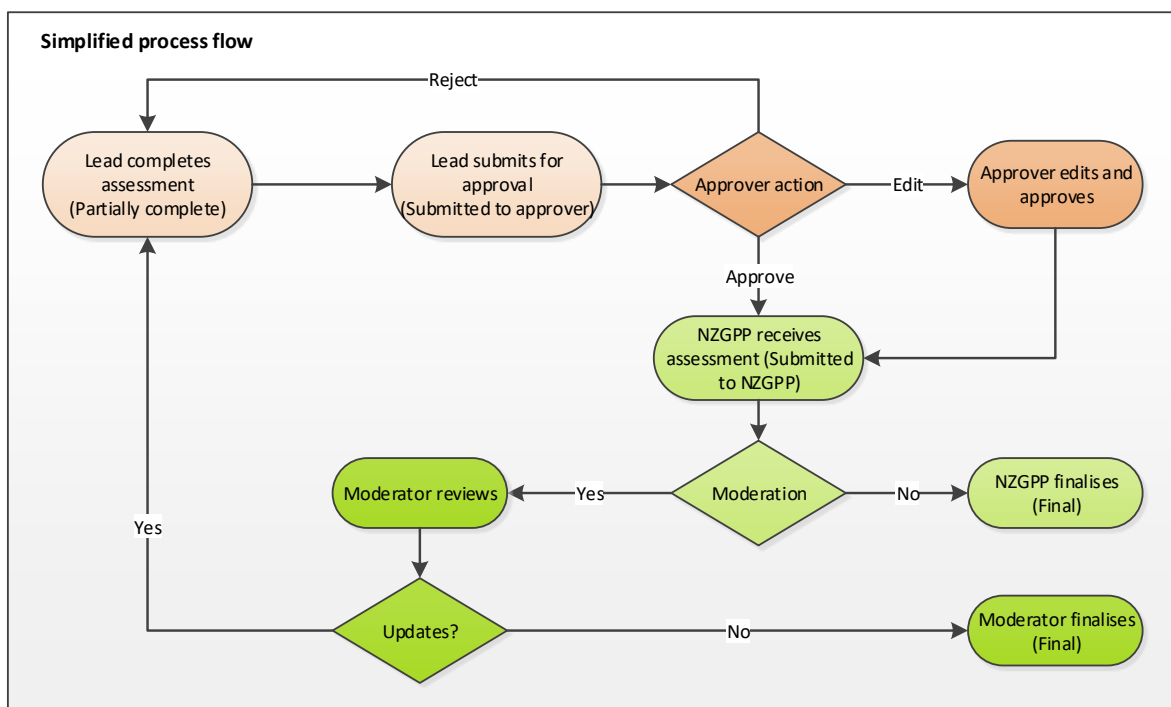
## 12. Moderation

Some agencies, (i.e. Investment intensive agencies) are required to have their PCI self-assessment results externally validated by a moderator from time to time. NZGPP will be in contact with your agency regarding the selection of a moderator and the validation process if your results are due to be validated. Note that the moderator will have read only access to the ratings and commentary you provided (excluding the Internal comments) but will not be able to access any of the evidence links that are pointed to internal systems (e.g. your agency's document management system).

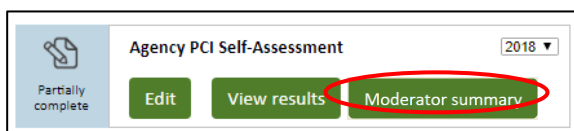
If your agency is not due to have your self-assessment results validated, but would like to have someone review your results, you can indicate this in the feedback section of the PCI self-assessment before submitting to NZGPP or contact NZGPP directly.

### More input required

If the moderator needs updates to the assessment they will indicate this in the moderator commentary fields and forward it back to you for updates. You will receive an email and the status of the assessment will be returned to 'Partially complete' so that you can again edit and submit for approval.



You can access a summary of the moderator commentary by clicking on the **Moderator summary** button available in the assessment selector on the home page and at the end of the results report. (Use the return link to come back.)



## Moderation complete

If the moderator is satisfied with the content of the assessment they will finalise it and an automatic email will be sent to you advising that the assessment has been finalised.

# 13. Audit panel and Iterations

At certain times during the PCI process an entry will appear in the audit panel. These records are created:

- Each time you submit the assessment to the approver
- Each time the approver returns the assessment to you for more input
- Each time the approver submits the assessment to NZGPP
- If the assessment is assigned to a moderator
- Each time the moderator returns the assessment to you for more input
- When the assessment is finalised (either by the moderator or by NZGPP if moderation is not required)

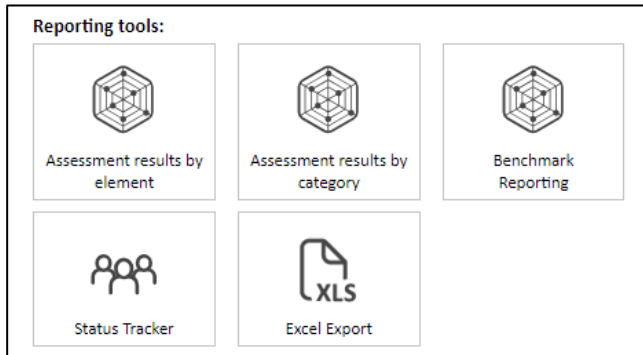
Final			
Date	Person	Status	Comment (for internal review only, not viewed by NZGPP)
27 Jun 2018 10:11	Janet MacEwen	Partially complete	
27 Jun 2018 10:12	PCI1Res Responder	Submitted to approver	Ready for your approval
27 Jun 2018 10:13	PCI1Rev Reviewer	Partially complete	Please update as discussed
27 Jun 2018 10:14	PCI1Res Respo	Submitted to approver	Ratings changed and additional improvement initiatives added as discussed
27 Jun 2018 10:14	PCI1Rev Reviewer	Submitted to NZGPP	v 1.00 PDF created.
27 Jun 2018 10:15	NZGPP-CC PCI	Submitted to NZGPP	assigned to moderator PCIMod Moderator.
27 Jun 2018 10:25	PCIMod Moderator	Partially complete	Please provide more evidence as detailed
27 Jun 2018 10:55	PCI1Res Responder	Submitted to approver	Additional evidence provided
27 Jun 2018 10:56	PCI1Rev Reviewer	Submitted to NZGPP	v 2.00 PDF created. Resubmitting for approval following moderation
27 Jun 2018 11:00	PCIMod Moderator	Final	v 3.00 PDF created. Updated version now satisfactory

In some cases a PDF version of the results report is automatically created so that you have a history of the changes made (e.g. v1.00). You can click on the version link to view a PDF of the detailed results report at the time of submission or finalisation.

Any comments included in the entries between yourself and the approver (a, b) will not be viewed by NZGPP or the moderator. They will only see the entries related to (c, d, e and f).

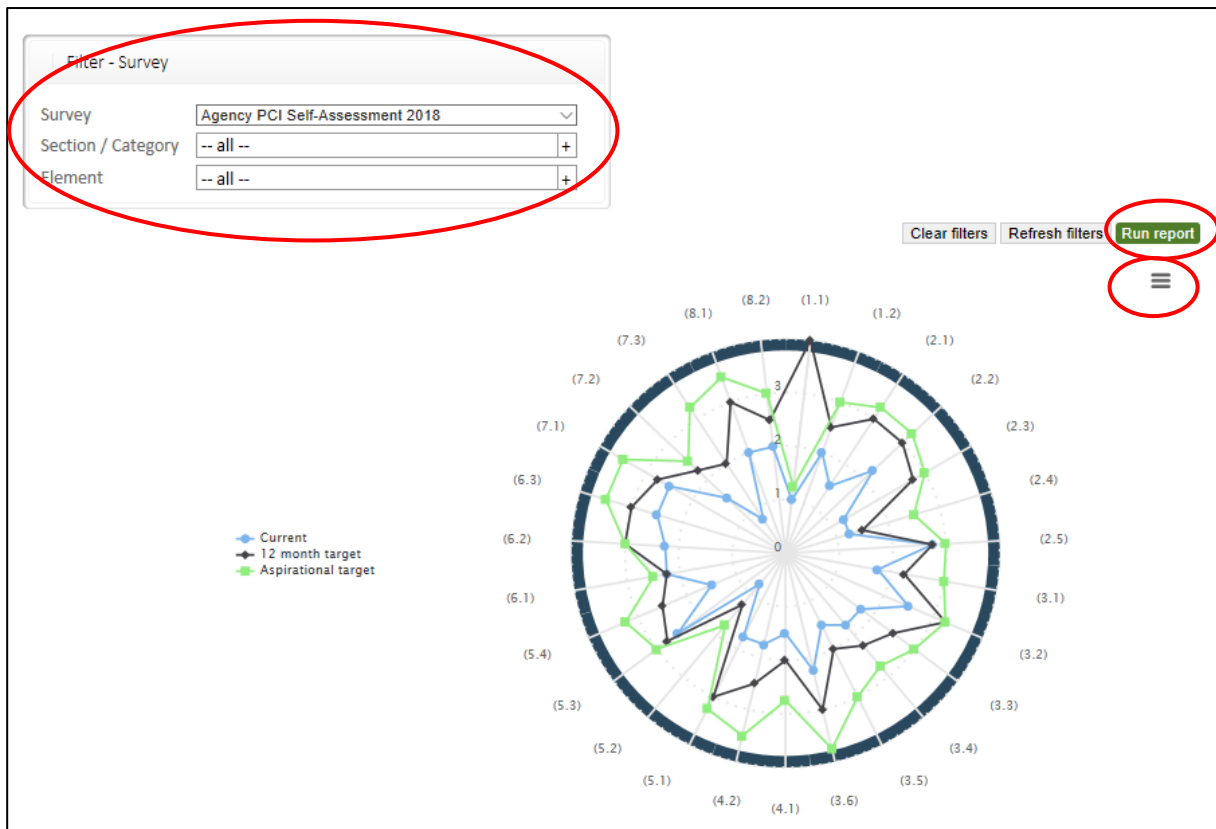
# 14. Reporting

As a Procurement Lead you have access to some additional reporting to help you track the status of responses across your agency and produce system reports, including benchmark reports.



## Assessment results by Element

The report will default with a spider diagram of the 27 elements along with a table of the results. You may use the filters to customise the report, simply select your filters and click the Run report button.



- The hamburger icon allows you to download the diagram as a JPEG or PNG file that can be used in

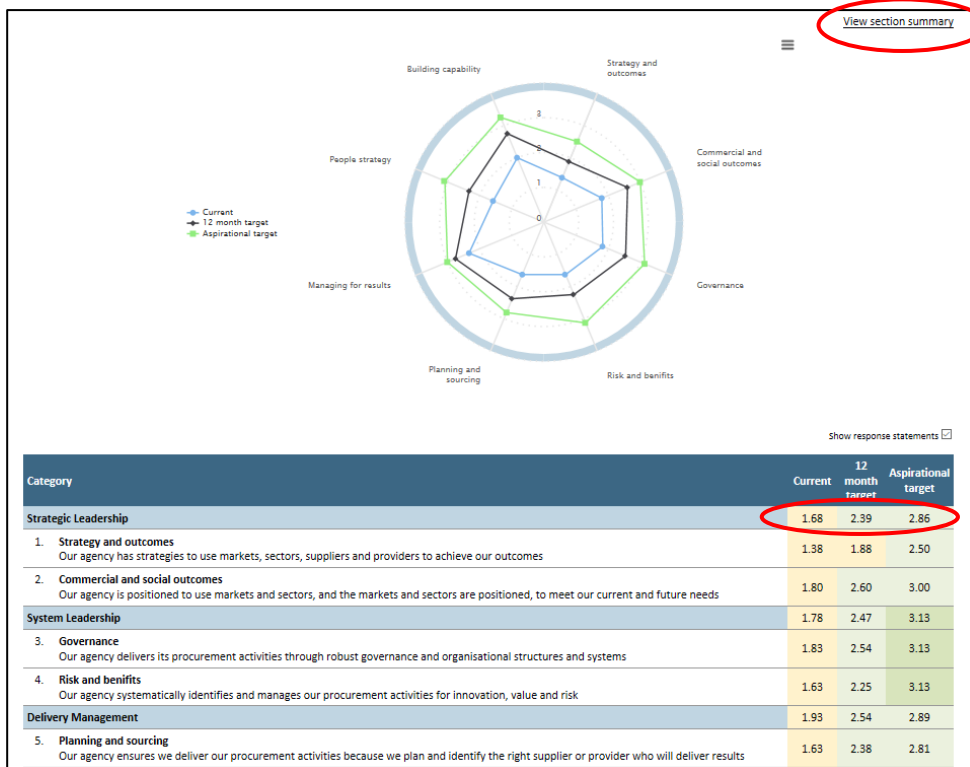
If you are using multiple Individual Self-Assessments to inform your Agency Self-Assessment, this report can give you an aggregation of the individual assessment results.

The table of the results in this report is similar to the individual results report but in addition the aggregated report also provides additional aggregated totals at the section level.

Element	Current	12 month target	Aspirational target
<b>Strategic Leadership</b>	1.86	2.61	3.11
<b>1. Strategy and outcomes</b>	1.94	2.69	3.25
1.1 Our agency has a strategic plan that identifies our outcomes and how we will work with the markets, sectors, suppliers and providers to achieve them	1.75	2.50	3.25
1.2 Our agency completes an annual business plan(s) which identifies how we use markets, sectors, suppliers and providers to achieve the outcomes from our strategic plan	2.13	2.88	3.25
<b>2. Commercial and social outcomes</b>	1.83	2.58	3.05
2.1 Our agency completes and publishes annual procurement plans which detail our procurement activities for the year	1.63	2.50	3.13
2.2 Our agency works to deliver government policy and legislative initiatives through its procurement activities	2.63	3.13	3.50
2.3 Our agency has identified those suppliers and providers that are critical to delivering strategic outcomes	1.63	2.75	3.25
2.4 Our agency has a plan to support procurement capability and continuous improvement Our agency has a plan to continuously improve our procurement capability	1.63	2.25	2.75
2.5 Our agency works with and develops markets, sectors, suppliers and providers so they are ready to deliver our business needs now and in the future	1.63	2.25	2.63
<b>System Leadership</b>	1.58	2.36	3.13
<b>3. Governance</b>	1.54	2.33	3.10
3.1 Our agency has robust governance structures to direct, control, provide oversight and make critical decisions for our procurement activities	1.63	2.75	3.00
3.2 Culture Our agency has robust controls to ensure we meet our financial obligations	1.13	1.75	2.25
3.3 Our agency complies with our procurement policies to ensure we are using best practice procurement	1.38	2.25	3.38
3.4 Our agency uses tools, templates and processes to simplify and streamline our procurement activities	1.63	2.13	3.50
3.5 Our agency utilises ICT systems to support the planning, sourcing and management of our procurement activities	1.88	2.50	3.13
3.6 Our agency has visibility of its procurement activities and how they are performing	1.63	2.63	3.38
<b>4. Risk and benefits</b>	1.69	2.44	3.19
4.1 Our agency understands and uses effective risk management practices to support all procurement activities	1.75	2.63	3.50
4.2 Our agency seeks innovation and manages for benefits to deliver better public services through our procurement activities	1.63	2.25	2.88
<b>Delivery Management</b>	1.91	2.55	3.07
<b>5. Planning and sourcing</b>	1.81	2.38	2.88
5.1 Our agency uses market and sector information to develop a plan and sourcing approach for its procurement activities	2.25	3.00	3.63

### Assessment results by category

Similar to the Assessment results by element report but is at the category level and provides a link to view at the section level.



Uncheck the Show response statements checkbox to view just the category titles.

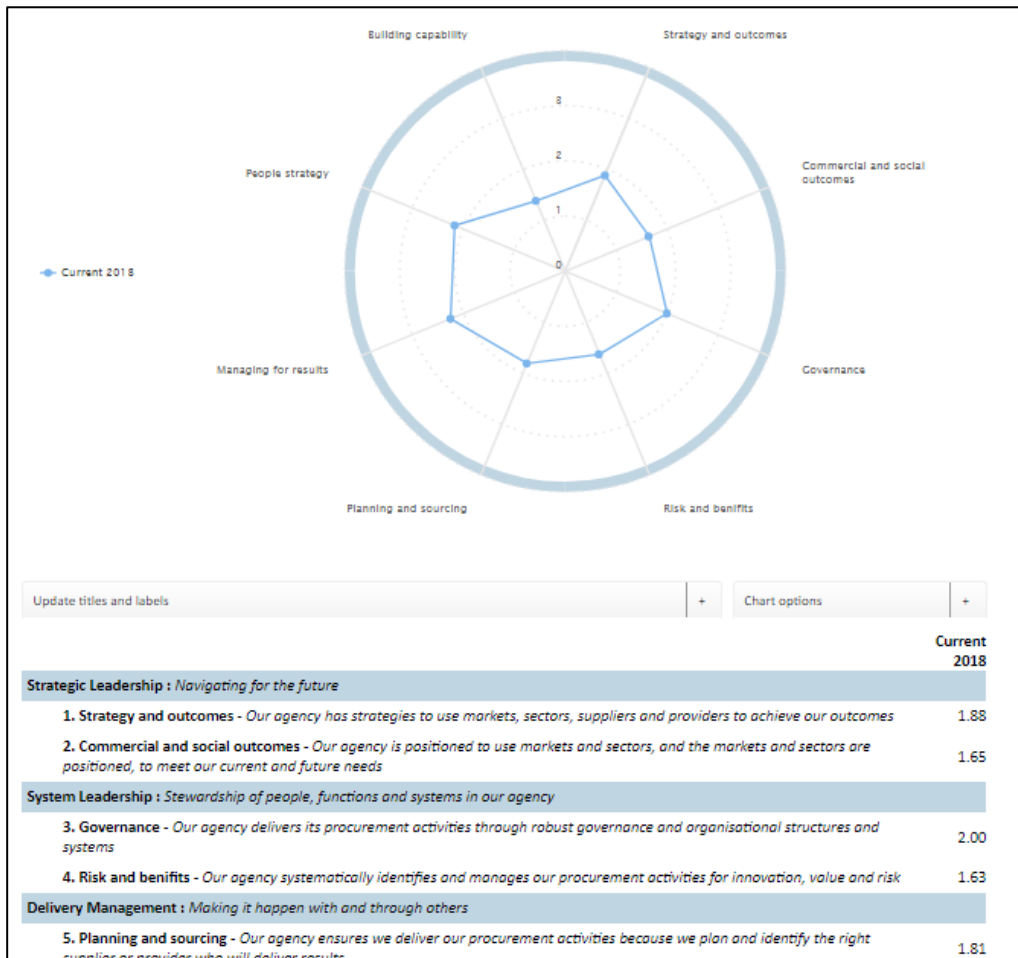
Category	Current	12 month target	Aspirational target
<b>Strategic Leadership</b>	1.68	2.39	2.86
1. Strategy and outcomes	1.38	1.88	2.50
2. Commercial and social outcomes	1.80	2.60	3.00
<b>System Leadership</b>	1.78	2.47	3.13
3. Governance	1.83	2.54	3.13
4. Risk and benefits	1.63	2.25	3.13

### Benchmark Reporting

The Benchmark reporting option gives you the ability to produce tailored benchmark reports which can be emailed, saved to PDF, printed or exported to Excel. This report can be used when more than one year’s worth of data is available to benchmark

1. The first step is to select the Survey you wish to generate the benchmark report for. In this example, we have used **Agency PCI Self-Assessment 2018** from the drop down list.
2. The next step is to choose the answer group on which your benchmark report will be based. In this example, we have chosen **Current**. (You can also choose a comparative answer group e.g. to show the gap between Current, 12 month target and Aspirational target ratings.)
3. Should you wish, you could Group by and/or filter on the Section, Category or Element. For this example, we have chosen to group by Category and show all.
4. The next step is to click on the ‘Add series’ button.
5. You are able to choose a Classification for your report.

This results in a series being displayed in the spider and table as below:



We can repeat the above steps to include another year's results, selecting the Add series button each time.



You can update the title and series labels (2) and type of chart displayed (3) or download the spider as a JPEG or PNG (1).



You can add a chart title or change the series title and line style and then click on the 'Update' button.

Update titles and labels

Report title:

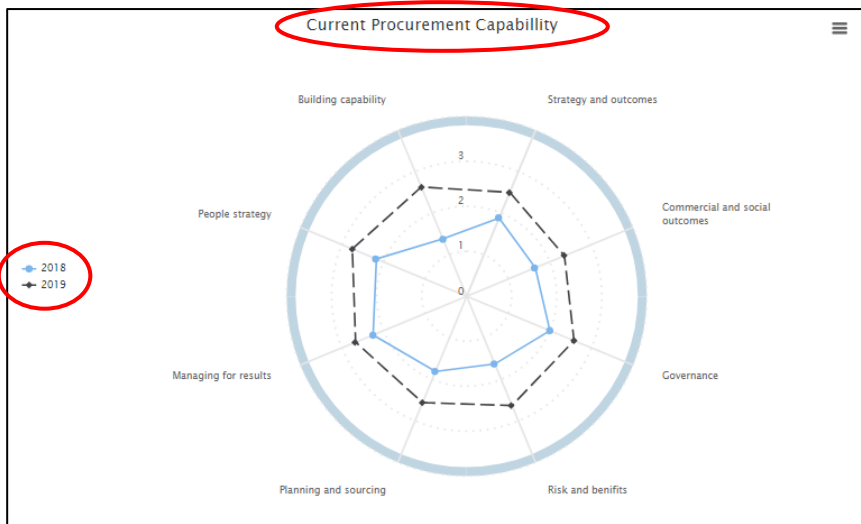
Report description:

Chart title:

Series labels:

Series line style:

(Solid, ShortDash, ShortDot, ShortDashDot, ShortDashDotDot, Dot, Dash, LongDash, DashDot, LongDashDot, LongDashDotDot)



You can change the chart type using the chart options (for example a bar chart is a great way to display the gap between Current and Aspirational target).

Firstly click the **Remove all series** button to clear the existing spider and select Aspirational target as the Comparative answer group.

Survey:

Filter - Survey items

Answer group:

Comparative answer group:

Section / Category:

Element:

Group by:

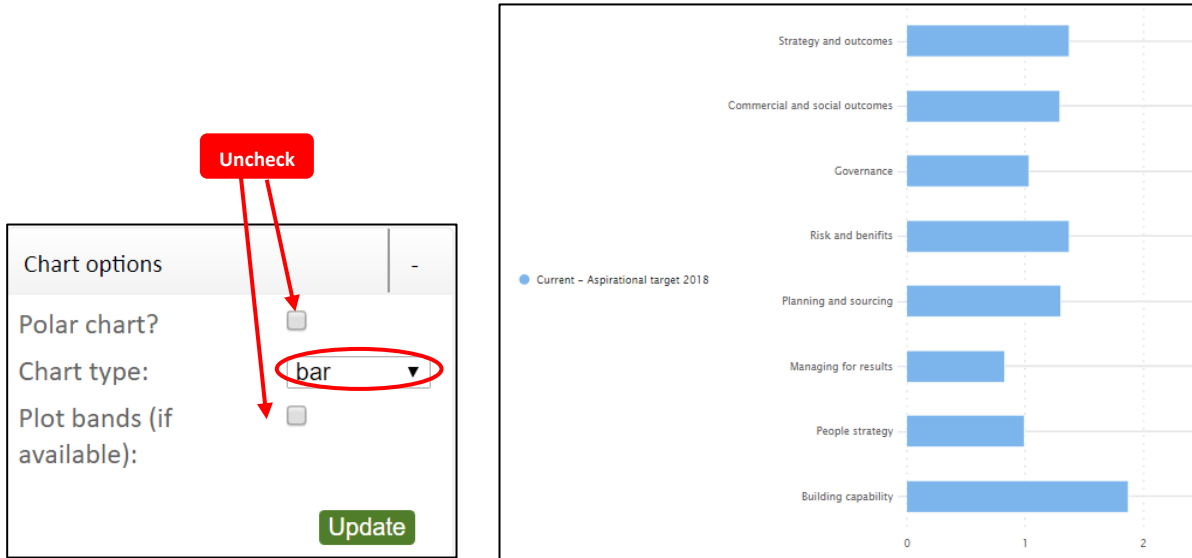
Classification:

Filter - Responses

Global People Groups:

Individual:

Then click on the Chart options + to update the chart style as follows:



As with the results report you can use the four reporting options to Email, save to PDF, print, or export your results. In addition, the chart has **Download options** - Clicking on the hamburger icon allows you to download the chart as a JPEG or PNG

### Status tracker

The status tracker report provides details on the status of your assessments and provides standard list options of a count, the print icon and the ability to export to excel. You can filter by survey, status or agency specific business groups that have been set up for your agency.

Individual PCI Self-Assessment 2018 responses

Survey: Individual PCI Self-Assessment 2018  
 Status: -- all --  
 Business Groups: -- all --

Run report

Count: 4

Agency	Response	Status	Started	Complete
Regression PCI Test Agency	Individual2 (1006274197)	Partially complete	06 Jul 2018 11:13	
Regression PCI Test Agency	Individual3 (1003652527)	Complete	06 Jul 2018 11:13	06 Jul 2018 11:16
Regression PCI Test Agency	Individual4 (1007074786)	Partially complete	06 Jul 2018 11:13	
Regression PCI Test Agency	Individual1 (1005922349)	Complete	11 Jul 2018 10:11	11 Jul 2018 10:57